

MEMORANDUM FOR: Assistant Administrators  
Deputy Assistant Administrators  
Strategic Team Leads  
Program Offices

FROM: Jolene Lauria Sullens  
Deputy Chief Financial Officer/  
Director of the Office of Budget

SUBJECT: Transmittal#3 - FY 2003 Strategic Team  
Proposal Submission

April 5, 2001 Team Lead Meeting:

The Team Lead participation at the April 5 Strategic Team Meeting was appreciated. Several issues were raised that were relevant to all the Teams. A number of Teams inquired as to whether or not Implementation Plans will be required, and the response is no. However, in lieu of the Implementation Plans, background information at a detailed level is required. The level of detail information was discussed based on the draft review criteria which was provided at the meeting. A proposed format for presentations was also provided at the meeting.

Submission of the Team FY 2003 Budget Request:

On April 20, all Strategic Teams shall provide 3 hard copies and one electronic copy of their FY 2003 request to the NOAA Office of Budget. The Office of Budget focal point for Team submissions is Dennis Staley, 202-482-1236. In addition, also on April 20, each Team will provide one copy of their FY 2003 request package to each of the seven other Teams (this includes the Infrastructure Team). All FY 2003 Team Budget Request submissions should contain a summary listing of all initiatives in a Team ranked order, a breakout of dollars to each LO associated with each initiative, a funding outyear profile for each initiative, and the most comprehensive background information available to date.

Joint Budget Review Meetings:

A series of Joint Budget Review (JBR) meetings will be scheduled (Attachment A) to review and discuss each of the Teams' FY 2003 Budget requests. Limited fiscal growth of up to 4 percent, challenges us to prepare a budget request that provides funding to sustain NOAA's operations as well as

infuse new science, new technologies and new efficiencies into the agency. Conducting these JBR meetings will enable NOAA to examine its request better than ever before, with the end result being a strong defensible FY 2003 budget request.

The JBR meeting participants are: the Budget Office, Strategic Team Lead and one Team representative/staffer, Line Office (LO) Chief Financial Officers (CFOs) or LO Management and Budget Officers (MBs) or their representatives, NOAA Information Technology Review Board representative, if appropriate; NOAA Facilities Review Board representative, if appropriate, and a Fleet and Aircraft Council representative if appropriate. Each initiative, will be individually reviewed and according to the criteria discussed (Attachment c).

All participants will be provided an electronic copy of a Team Review Scorecard, and their review/comments are due to the Office of Budget focal point by noon the day before the schedule meeting. (Scorecard will be emailed separately) A summarized Team Review Scorecard sheet will be compiled for each of the initiatives for each JBR meeting. The Office of Budget Strategic Team Liaisons are the lead for compiling a summarized version of the review comments. The JBR Meetings will be led by the Office of Budget Team Liaison and LO Budget Analyst. Each meeting will begin with up to a 15 minute overview presentation by the Team followed by a question and answer session. Each review should take no more than one and half hours total.

The Office of Budget LO Analyst is the lead focal point in preparing the draft and final Team initiative review analyses. The LO Analysts will work in conjunction with the Office of Budget Strategic Team Liaisons, Team representatives, CFO/M&B LOs and Review Board representatives. The review schedule is aggressive as a result of trying to provide the Teams as much time as possible to prepare their request and backup information. Review meetings will be held within a two week period followed by a quick turn around for the draft analyses, completion of any outstanding documentation, and final analyses.

#### Additional Crosscut Analysis

In Transmittal #2, four crosscuts were directed to be developed. The four crosscuts, Research and Development (OAR

lead); Information Resource Management (CIO lead); End to End Budgeting for Satellites (NESDIS lead) and an Energy White Paper (OAR, NOS, NESDIS) are due to the Office of Budget Friday May 11, 2001.

#### Strategic Team Lead Presentations for Executive Staff

One hard copy and an electronic copy of each Strategic Team presentations are due to the Office of Budget by Friday May 11. For the May 21 and 22 NOAA Executive Meeting, the presentation template discussed at the April 5 meeting should be followed. (Attachment D). Please bring 40 copies of your viewgraph materials to the May Management Review.

As a reminder, the NOAA Executive Staff Review of the FY 2003 Budget request will be held on May 21 and 22, in SSMC 4 room 1w611, 1:00 - 6:00 on Monday May 21, and 9:00 - 3:15 on Tuesday May 22. NOAA's Senior Management, Assistant Administrators, Deputy Assistant Administrators, CFOs and M&Bs, Program and Staff Office Directors should be in attendance (Attachment B).

Any additional guidance on the documentation needed to complete the Technical Budget submission will be provided in a subsequent transmittal.

If you have any questions please contact Jill Meldon at 202-482-4600 x 130.

cc:  
S. Gudes  
S. Stewart  
CFOs  
M&Bs  
J. Meldon  
R. Haley  
L. Bui  
J. Carter  
Formulation  
BPPI

Attachment A

**Schedule of Events - FY 2003 Budget Submission**

Friday April 20		3 copies of the Strategic Team FY 2003 Request to Office of Budget; copy to other Teams and LO CFOs/MBs.
Wed April 25 noon		DecCen and SI initiative review sheets due to Office of Budget focal point and DCFO
Thurs April 26	1-2:30	DecCen Joint Budget Review (JBR) Meeting
	3-4:30	SI JBR meeting
Mon April 30 noon		RPS and BSF initiative review sheets due to the Office of Budget focal point and DCFO
Tues May 1	9-10:30	RPS JBR meeting
	11-12:30	BSF JBR meeting
Wed May 2		Draft DecCen and SI Team initiative review analyses completed, submitted to the DCFO
Thurs May 3	noon	ASTF and Infrastructure initiative review sheets due to Office of Budget focal point and DCFO
Fri May 4	9-10:30	ASTF JBR meeting
	11-12:30	Infrastructure JBR meeting
Fri May 4		Draft RPS and BSF Team initiative review analyses completed, submitted to the DCFO
Tues May 8 noon		SHC and PSN initiative review sheets due to Office of Budget and DCFO
Wed May 9	1-2:30	SHC JBR meeting
	3-4:30	PSN JBR meeting
Wed May 9		Draft ASTF and Infrastructure Team

	initiative review analyses completed, submitted to the DCFO
Friday May 11	Hard and electronic copies of Team Presentation due to the Office of Budget. One hard copy and one electronic copy of Crosscut Analyses due to the Office of Budget focal point
Tuesday May 15	Draft SHC and PSN Team initiative review analyses completed, submitted to the DCFO
Thurs May 17	All Team initiative analyses finalized and incorporated into Executive Management FY 2003 Briefing Books
Monday May 21	1:00-5:15 Team Presentations
Tuesday May 22	9:00-12:15 Team Presentations
	1:15-2:30 Executive Staff discussion/decision meeting
Thurs May 24	NOAA Executive Decisions
Wed May 30	Noon - Team Appeals to CFO and DCFO
Thurs May 31	Final Decisions Transmitted
Friday June 1	Letter with tables to DOC
Monday June 25	Full Budget and Technical Table to DOC



Attachment B

**FY 2003 Executive Management Review Schedule**

Monday May 21

1:00 - 1:15	Opening Remarks - Scott Gudes, Jolene Lauria Sullens
1:15 - 2:00	FY 2003 Overview - Jolene Lauria Sullens
2:00 -2:45	Advanced Short-term Warnings and Forecasts
2:45-3:30	Infrastructure
3:30-3:45	Break
3:45-4:30	Promote Safe Navigation
4:30-5:15	Sustain Healthy Coasts

Tuesday May 22

9:00- 9:45	Implement Seasonal to Interannual Climate Forecast
9:45-10:30	Predict & Assess Decadal to Centennial Climate Change
10:30 -10:45	Break
10:45 -11:30	Recover Protected Species
11:30 -12:15	Build Sustainable Fisheries
12:15- 1:15	Lunch Break
1:15 -2:30	Executive Staff Meeting round the room with initial issues and reactions

Attachment C

**CRITERIA FOR THE FY 2003 JOINT BUDGET REVIEW**

**Title of the Initiative -**

**1. Description of Initiative:** Provide a brief, but specific description of the proposed initiative.

**2. Expected outcome:** What will this initiative do for NOAA and/or the nation? Quantify the benefits from funding this initiative. Provide information on the current state of the proposal. ex. How bad is the situation and how much better it will be if funding is provided? and if yes,

**3. Strategic Goals/Objective:** Provide the goal and objective that this initiative supports. Are there other SP goals and objectives that will benefit from this initiative, if yes list them.

**4. Productivity/Cost Savings:** Will initiative result in increased cost savings for NOAA? Will it improve upon our productivity? If so, how will we measure it?

**5. Efficiency:** How will this contribute to the operational effectiveness and efficiency? How will we measure success?

**6. Key Schedule Milestones for Implementation -** Provide milestones by quarter, delineate the steps needed to get to desired outcome and how resources will be allocated to each step.

**7. Base Activities:** Identify base activities already in existence. Provide funding amount, LO, line item, and previous accomplishments.

**8. Project Performance Metrics:** Provide performance measures for the initiative.

**9. History:**

Has this initiative been submitted previously?

If so, what was the result - indicate approved funding levels at:

NOAA, DOC, OMB, Congress submissions

What changes have been made to strengthen it from past



submissions.

**10. For Follow-on Initiatives:**

How much did we get in FY 01 for the initial initiative?

How much did we spend?

What did we get for it?

How will proposed enhancements contribute to results and outcomes?

What will the increase/delta of funding to an existing initiative provide vs the current planned spending profile

**11. Executability:**

How will the money spend out by FY quarters

Is it scalable?

Break out scalable blocks with cost and activities

What is the spending mechanism?

Will we need a new contract vehicle or can we use an existing one?

**12. Partnerships:** Other agencies involved? Are there Partnership opportunities?

List all users of this product to demonstrate public benefits.

**13. Is new authorization required?** If no, cite relevant authorization. Cite any legal issues needed to be addressed before initiative can be implemented ( ie. NEPA compliance, licenses, ESA)

**14. What is Team ranking** for this initiative? What is the LO ranking?

**15.** Is there and/or will there be any **congressional interest** in this project? If so, can you identify the representative and the district that will interested.

**16.** What is the **Return on Investment** for the initiative? How does this compare with the other proposals?

**17.** Are **Information Technology** Resources identified?

**18.** Are **R&D components** and amounts identified? How much money goes out the door?

**19.** Is the budget request **properly justified and supported?**

## 20. Budget Information Required:

	FY 03	FY 04	FY05	Estimate to FY 06	FY07
		Complete			

### Personnel:

- Number of FTEs
- Salary & Benefits
- Grade/Series

### Non-Labor:

- Travel
- Training
- Contracts \$/# FTE
- Supplies
- SW
- Equipment
- HW initial purchase
- HW recurring Ops. & Maintenance

Attachment D

### PRESENTATION FORMAT

(Refer to illustrative template format provided at April 5, meeting)

#### Components:

What is the initiative?

Why is it important?

Actions

Expected results

Funding Profile (increase above FY 02 Pres Bud - thru FY 07, and estimate to complete)

Team Ranking

Summary with Each Line Office Funding

For each initiative identify which LOs , what line item, and amount of funds

Summary of Team funding profile